



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20530  
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APPLICATION NUMBER	FILING RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/897,772	06/29/2001	Catherine Guenther	R-268

DELTAGEN, INC.  
1003 Hamilton Avenue  
Menlo Park, CA 94025

O P E R A T I O N S

DEC 03 2001

PATENT &amp; TRADEMARK OFFICE

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AUG 01 2001

BY: jmw

D.A. 1616-161  
F.M. 03/01/02

CONFIRMATION NO. 9809

## FORMALITIES LETTER



\*OC000000006372365\*

Date Mailed: 08/01/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$821.
  - \$126 for 14 total claims over 20.
  - \$560 for 14 independent claims over 3 .
  - \$135 for multiple dependent claim surcharge.
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 1241.**
- This application does not contain a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). Applicant must provide such statement. If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000).
- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new

matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

**For questions regarding compliance to these requirements, please contact:**

- **For Rules Interpretation, call (703) 308-4216**
- **To Purchase PatentIn Software, call (703) 306-2600**
- **For PatentIn Software Program Help, call (703) 306-4119 or e-mail at  
[patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)**

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*A copy of this notice MUST be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

12-67-01

SECTOR 4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
FILING COMPLETION UNDER RULE 53(f)

In re PATENT APPLICATION of

Inventors: **ALLEN, Keith D.**

Appln. No: **09/897,772**

Filed: **June 29, 2001**

Title: **TRANSGENIC MICE CONTAINING BMP GENE DISRUPTIONS**



Atty. Docket No. **R-268**

Deposit Account No. **50-1271**

Customer No. **26619**

Date: **December 3, 2001**

(December 1 = Saturday)

Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir

The following **completes the filing** under Rule 53(f) of the above-identified patent application:

- 1  Enclosed is a copy of the Notice to File Missing Parts.
- 2  Signed Declaration enclosed  Original /  facsimile/copy
- 3  Enclosed is an Assignment and cover sheet. Please return the recorded Assignment to the undersigned.
- 4  Enclosed is the sequence listing on paper and a diskette containing said sequence listing.
- 5  Applicants state that the content of the sequence listing information recorded in computer readable form is identical to the paper copy of the sequence listing and includes no new matter, as required by 37 CFR §1.821.
6.  Applicants hereby claim "small entity" status in accordance with 37 CFR § 1.27.

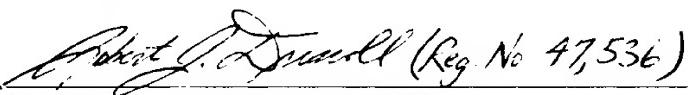
**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

7. Basic Filing Fee.....		\$370.	\$	\$370.00	201
8. Total Claims	36	minus 20 =	16	x 9.	+ 144.00 203
9. Independent Claims	17	minus 3 =	14	x 42.	+ 588.00 202
10. Multiple Dependent Claims				140.	+ 140.00
11. Surcharge for filing Declaration/filing fee late				65.	+ 65.00 205
12. FILING FEE: <input checked="" type="checkbox"/> CHARGE AUTHORIZATION <input type="checkbox"/> ENCLOSED	=	\$ 1,307.00			
13. Original due date: OCTOBER 1, 2001					
14. Petition is hereby made to extend the original due date to cover the date of this response, for which the requisite fee is enclosed.		\$ 55. / 200. 460. / 720.		200.00	
15. If Assignment is included, add recording fee .....		\$ 40.	+ 40.00	581	
16. <b>TOTAL FEE (CHARGE AUTHORIZATION): = \$1,547.00</b>					

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any missing fees required, or credit any overpayment, to our Account/Order No. 50-1271/R-268, for which a duplicate copy of this sheet is enclosed.

**DELTAGEN, INC.**

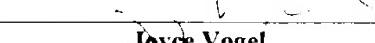
740 Bay Road  
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Tel (650) 569-5100  
Fax: (650) 569-5280

  
*for* **MARIETTE A. LAPIZ, Reg. No. 44,202**

Express Mail Label:  
Date of Deposit:

ET 668572657 US  
December 3, 2001

I certify that this paper and listed enclosures are being deposited with the U.S. Post Office "Express Mail Post Office to Addressee" under 37 CFR 1.10 on the above date, addressed to U.S. Patent and Trademark Office, P.O. Box 2327, Arlington, Virginia 22202, BOX PATENT APPLICATION.

  
**Joyce Vogel**